

Statement of Organization Recipient Committee

CALIFORNIA
FORM **410**

Recipient Committee:

A recipient committee is any individual (including an officeholder or a candidate), group of individuals, organization, or any other entity that receives contributions totaling \$1,000 or more during a calendar year.

The term "contribution" includes monetary payments, loans and non-monetary goods or services.

Candidates:

The personal funds of a candidate or officeholder used in connection with seeking or holding elective office are contributions and are counted toward qualifying as a recipient committee. However, personal funds used to pay a candidate filing fee or a fee for the statement of qualifications to appear in the ballot pamphlet are not counted toward the \$1,000 threshold.

When to File:

File the Form 410 within 10 days of receiving \$1,000 in contributions. The date this form is postmarked is the date it is considered filed.

A recipient committee qualifying during the 16 days prior to an election in which it must file pre-election statements must file a Form 410 (or the information required on a Form 410) by telegram or personal delivery within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements. A Form 410 must also be filed with the Secretary of State within 10 days.

A recipient committee qualifying during the 16 days prior to an election in which the committee makes independent expenditures of \$1,000 or more to

support or oppose a candidate in that election must file the Form 410 (or the information contained on the Form 410) within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements and with the filing officer(s) for the candidate(s) supported or opposed by the independent expenditure. These filings must be made by fax, telegram, personal delivery or online (if online filing is available).

Where to File:

All Committees:

Original & one copy Secretary of State
Political Reform Division
1500 11th Street, Rm 495
Sacramento, CA 95814

County & City Committees:

Copy Local filing officer who will
receive the original
disclosure statements.

You will receive written notification from the Secretary of State's office assigning an identification number to your committee. (Identification numbers are also posted on the Secretary of State's web site at www.ss.ca.gov.)

Amending:

Except for the "24-hour" amendment noted below, an amendment is due to the Secretary of State and local filing officer (if applicable) within 10 days from the date of any change to the information contained on the Form 410.

24-Hour Amendment:

If, during the 16 days prior to an election when a committee is required to file pre-election statements, a change occurs in the name of the committee; the treasurer or other principal officers; or the controlling candidate, an amendment must be filed with the filing officer receiving the committee's original campaign statements within 24 hours of the change. The amendment must be sent by fax, online transmission, telegram or personal delivery. If the Secretary of State is not the filing officer for the committee's original campaign statements, the amended Form 410 must also be filed with the Secretary of State within 10 days as stated above.

Terminating:

All recipient committees must file disclosure statements until the termination requirements are met and the Form 410 Termination has been filed. See Part 5.

See the Technical Assistance Information Manual for Campaign Disclosure for additional information and information required to be provided to you pursuant to the Information Practices Act of 1977.

This form was prepared by the Fair Political Practices Commission (FPPC). Copies of FPPC forms and informational materials are also available on the FPPC web site (www.fppc.ca.gov).

Statement of Organization Recipient Committee

Type or print in ink

STATEMENT OF ORGANIZATION

**CALIFORNIA
FORM 410**

For Official Use Only

Statement Type

☐ Initial

Not yet qualified ☐ or

☐ Amendment

List I.D. number:

_____/_____/_____
Date qualified as committee

_____/_____/_____
Date qualified as committee
(If applicable)

☐ Termination – See Part 5

List I.D. number:

_____/_____/_____
Date of Termination

Date Stamp

1. Committee Information

NAME OF COMMITTEE

STREET ADDRESS (NO PO. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

MAILING ADDRESS (IF DIFFERENT)

OPTIONAL: FAX / E-MAIL ADDRESS

COUNTY OF DOMICILE

COUNTY WHERE COMMITTEE IS ACTIVE IF DIFFERENT
THAN COUNTY OF DOMICILE

Attach additional information on appropriately labeled continuation sheets.

2. Treasurer and Other Principal Officers

NAME OF TREASURER

STREET ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

NAME OF ASSISTANT TREASURER, IF ANY

STREET ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

NAME AND POSITION OF OTHER PRINCIPAL OFFICER(S), IF APPLICABLE

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

3. Verification

I have used all reasonable diligence in preparing this statement and to the best of my knowledge the information contained herein is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on _____
DATE

By _____
SIGNATURE OF TREASURER OR ASSISTANT TREASURER

Executed on _____
DATE

By _____
SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

Executed on _____
DATE

By _____
SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

Executed on _____
DATE

By _____
SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

Statement Type:

Initial

The "date qualified" as a committee is the date that the committee received contributions totaling \$1,000 or more during a calendar year. If a Form 410 is filed prior to receipt of \$1,000 in contributions, check the box "Not yet qualified." Once the committee qualifies, file an amended Form 410 to report the date qualified.

Amendment

If any of the information reported on an initial statement of organization changes, e.g., change of treasurers:

- Mark the amendment box.
- Include the committee's ID number and name.
- Provide the changed information.
- Complete the verification.

Unless otherwise prohibited by law, a candidate for local office may amend the Form 410 to indicate that he or she is seeking another term of the same office (e.g. re-election). A candidate for state office must open a separate committee for each term of office and may not amend the Form 410 to redesignate a committee.

Termination

List the committee's identification number and indicate the date of termination.

1. Committee Information:

Provide the full name of the committee. A committee may use only one name.

The committee's street address must be reported. A post office box is **not** acceptable. The committee's mailing address must also be reported

if it is different from the committee's street address. A post office box is acceptable for the mailing address.

The following name identification rules apply to the Form 410, the committee's campaign statements and to any other references to the committee required by law. See the instructions for Part 4 for committee definitions.

Legal Defense Fund

A state candidate or officeholder who is subject to legal proceedings may establish a controlled committee to defray attorney fees and other legal costs. The words "Legal Defense Fund" must be included as part of the committee name. See FPPC Regulation 18530.4.

Sponsored Committees

A sponsored committee (including most political action committees) must include the full name of its sponsor in the name of the committee. If the committee has more than one sponsor and the sponsors are members of an industry or other identifiable group, include a term identifying that industry or group.

Primarily Formed Ballot Measure Committees

-- A committee primarily formed to support or oppose a ballot measure must include the statement, "Committee For Proposition/Measure____," or "Committee Against Proposition/Measure____," in the name of the committee. File an amended Form 410 if the ballot number or letter is not assigned when the committee qualifies.

-- A committee primarily formed to support or oppose a ballot measure must also include in its

name a name or phrase that clearly identifies the economic or other special interest of its major donors of \$50,000 or more. The committee name must also include the name of any candidate that contributes \$50,000 or more. See FPPC Regulation 18450.3.

-- Recall elections: A committee primarily formed to support or oppose the recall of a candidate must identify in the committee name the name of the officeholder/candidate the committee is formed to support or oppose. For example: *A Committee to Oppose the Recall of John Doe.*

2. Treasurer and Other Principal Officers:

The committee may have only one treasurer and one assistant treasurer.

If the committee has other principal officers, such as a president, secretary, or chairperson, list each officer's full name, position held, and address. Use an appropriately labeled attachment if necessary.

3. Verification:

The committee treasurer or assistant treasurer must sign the Form 410.

Controlled Committees

Each controlling officeholder, candidate or state ballot measure proponent must sign the Form 410. If more than three control the committee, one of them may sign on behalf of all controlling individuals. If a candidate will serve as his or her own treasurer, he or she must sign as the candidate and again as the treasurer.

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STATEMENT OF ORGANIZATION

CALIFORNIA
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COMMITTEE NAME

I.D. NUMBER

4. Type of Committee Complete the applicable sections.

Controlled Committee

- List the name of each controlling officeholder, candidate, or state measure proponent. If candidate or officeholder controlled, also list the elective office sought or held, and district number, if any, and the year of the election.
- List the political party with which each officeholder or candidate is affiliated or check "non-partisan."
- If this committee acts jointly with another controlled committee, list the name and identification number of the other controlled committee.

NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROPONENT	ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)	YEAR OF ELECTION	PARTY
			<input type="checkbox"/> Non-Partisan
			<input type="checkbox"/> Non-Partisan

- List the financial institution where the campaign bank account is located (controlled "candidate election" committees only)

NAME OF FINANCIAL INSTITUTION	AREA CODE/PHONE	BANK ACCOUNT NUMBER
ADDRESS	CITY	STATE ZIP CODE

Primarily Formed Committee

Primarily formed to support or oppose specific candidates or measures in a single election. List below:

CANDIDATE(S) NAME OR MEASURE(S) FULL TITLE (INCLUDE BALLOT NO. OR LETTER)	CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)	CHECK ONE	
		SUPPORT	OPPOSE

4. Type of Committee:

A committee must complete each applicable section. In some instances, a committee may qualify as more than one type of committee.

Controlled Committee

A “controlled committee” is one which is controlled directly or indirectly by an officeholder, candidate, or state measure proponent, or which acts jointly with an officeholder, candidate, state measure proponent, or another controlled committee in connection with making expenditures.

A committee is controlled if the officeholder, candidate, or proponent, his/her agent, or any other committee he/she controls, has a significant influence on the actions or decisions of the committee.

“Proponents” of state measures are persons who request the Attorney General to prepare a title and summary of a state initiative, referendum, or measure.

Controlled “Candidate Election” Committee

A candidate must disclose bank account information on the Form 410.

List the name and address of the financial institution where the campaign bank account is located and the bank account number.

If your campaign bank account is not open at the time you file an initial Form 410, amend the Form 410 within 10 days of opening the bank account.

About Your Bank Account

- A campaign bank account must be established at an office of a financial institution located in the state.
- A new bank account and committee must be established to run for a different office. File initial Forms 501 (Candidate Intention) and 410 for the election.
- All money to be used for campaign purposes, including the candidate's personal funds, must be deposited in the campaign bank account for the specific office prior to expenditure, excluding personal funds used to pay the filing fee and/or fee for the statement of qualifications in the ballot pamphlet.
- State candidates may have separate bank accounts (and committees) for the primary and general election. A state candidate seeking re-election to the same office must open a new bank account and committee.
- Unless otherwise prohibited by law, a local candidate may use the same bank account and committee to run in more than one election for the same office (e.g. re-election).

Primarily Formed Committee

A committee is “primarily formed” when its principal activity is raising or spending money to support or oppose a specific candidate or measure or a group of specific candidates or measures all being voted upon in the same election on the same date. A committee established for the sole purpose of a recall election is a primarily formed committee.

A committee controlled by a candidate for his or her own candidacy is not a primarily formed committee.

If a primarily formed committee meets the sponsored committee definition, also complete the sponsored committee section.

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Recipient Committee

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COMMITTEE NAME

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I.D. NUMBER

4. Type of Committee (Continued)

General Purpose Committee

Not formed to support or oppose specific candidates or measures in a single election. Check only one box:

☐ CITY Committee ☐ COUNTY Committee ☐ STATE Committee

PROVIDE BRIEF DESCRIPTION OF ACTIVITY

Sponsored Committee

List additional sponsors on an attachment.

NAME OF SPONSOR

INDUSTRY GROUP OR AFFILIATION OF SPONSOR

STREET ADDRESS

NO. AND STREET

CITY

STATE

ZIP CODE

Small Contributor Committee

☐

/ /
Date qualified

Check box and provide the date this committee qualified as a small contributor committee. If the committee qualified as a small contributor committee on January 1, 2001, enter 1/1/01.

5. Termination Requirements By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, or proponent certify that all of the following conditions have been met:

- This committee has ceased to receive contributions and make expenditures;
- This committee does not anticipate receiving contributions or making expenditures in the future;
- This committee has eliminated or has no intention or ability to discharge all debts, loans received, and other obligations;
- This committee has no surplus funds; and
- This committee has filed all campaign statements required by the Political Reform Act disclosing all reportable transactions.

-- There are restrictions on the disposition of surplus campaign funds held by elected officers who are leaving office and by defeated candidates. Refer to Government Code Section 89519.

General Purpose Committee

A committee is a general purpose committee if its principal activity is supporting or opposing a variety of candidates or measures not voted upon in a single election.

- A **city** committee makes contributions and expenditures in connection with a single city's elections and includes special districts located within a single city.
- A **county** committee makes contributions and expenditures in connection with a single county's elections. A county committee also includes elections for special districts located in a single county or any number of cities located in a single county.
- A **state** committee makes contributions and expenditures in connection with state elections, or in connection with elections held in more than one county.

Provide a brief description of the committee's political activities such as whether or not it supports candidates or measures that share a common political affiliation. If the general purpose committee meets the sponsored committee definition, also complete the sponsored committee section.

Sponsored Committee

A "sponsored committee" is a general purpose or primarily formed committee, other than an officeholder or candidate controlled committee, that has one or more sponsors.

An organization, business, or other entity is a sponsor if one or more of the following apply:

- The committee receives 80% or more of its contributions from the entity or organization or its members, officers, employees, or shareholders.

- The entity or organization collects contributions for the committee by use of payroll deductions or dues from its members, officers or employees.
- The entity or organization, alone or in combination with other entities or organizations, provides all or nearly all of the administrative services for the committee.
- The entity or organization, alone or in combination with other entities or organizations, sets the policies for contribution solicitations or payment of expenditures from committee funds.

See the instructions for Part 1 for name identification requirements.

Small Contributor Committee

A "small contributor committee" is one that:

- Has been in existence for more than six months;
- Receives contributions from 100 or more persons;
- Makes contributions to five or more candidates; and
- Has not received more than \$200 from one person in a calendar year.

See FPPC Regulation 18503.

5. Termination Requirements

Recipient committees do not automatically terminate; they may only terminate under the following circumstances:

- They have ceased to receive contributions and make expenditures; and
- They do not anticipate receiving contributions, repayments of outstanding loans made to others, or any other receipts in the future, and they do not anticipate making expenditures in the future; and

- They have eliminated or have no intention or ability to discharge all their debts, loans received, and other obligations; and
- They have no campaign funds; and
- They have filed all required campaign statements disclosing all reportable transactions, including disposition of funds.

State Candidates: There are specific mandatory termination deadlines applicable to your controlled committees. See FPPC regulation 18404.1.

How to Terminate

State Recipient Committees

- File an original and one copy of the Form 410 Statement of Organization Termination along with an original and one copy of your Form 450 or 460 with the Secretary of State.
- File two copies of your Form 450 or 460 with your local filing officials.

Local Recipient Committees

- File an original and one copy of the Form 410 Statement of Organization Termination with the Secretary of State; and
- File a copy of the Form 410 Statement of Organization Termination, along with an original and one copy of your Form 450 or 460 with your filing officer.